APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/027,066	12/21/2001	Thomas N. Turba	RA5411 (33012/329/101)	9769

27516	7590	08/19/2004

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EXAMINER
WU, YICUN

ART UNIT	PAPER NUMBER
2175	

DATE MAILED: 08/19/2004

Please find below and/or attached an Office communication concerning this application or proceeding.

	Application No.		Applicant(s)	
Office Action Summary	10/027,066		TURBA ET AL.	
	Examiner		Art Unit	
	Yicun Wu		2175	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE <u>3</u> MONTH(S) FROM
THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133).
  Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☒ Responsive to communication(s) filed on <u>21 December 2001</u>.

2a)☐ This action is **FINAL.**   2b)☒ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) <u>1-20</u> is/are pending in the application.

    4a) Of the above claim(s) _____ is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) <u>1-20</u> is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☒ The specification is objected to by the Examiner.

10)☒ The drawing(s) filed on <u>04 December 2001</u> is/are: a)☒ accepted or b)☐ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All b)☐ Some * c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____.

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☒ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)
    Paper No(s)/Mail Date _____.

4)☐ Interview Summary (PTO-413)
    Paper No(s)/Mail Date. _____.

5)☐ Notice of Informal Patent Application (PTO-152)

6)☐ Other: _____.

III. DETAILED ACTION

1.   Claims 1-20 are presented for examination.

Specification

2.   This Specification is objected to for the following

informalities:

a) The disclosure contains embedded hyperlinks and/or other

form of browser-executable code. Applicant is required to delete

embedded hyperlinks and/or other form of browser-executable

code. Application should be checked throughout for embedded

hyperlinks. See MPEP § 608.01.

b) On page 1, line 6, Page 26, lines 5-7 and page 40, lines

3-5 the application number and filing date are missing; and

Appropriate action is required.

Claim Rejections - 35 USC § 102

3.   The following is a quotation of the appropriate paragraphs

of 35 U.S.C. 102 that form the basis for the rejections under

this section made in this Office action:

> A person shall be entitled to a patent unless –
>
> (e) the invention was described in a patent granted on an application for patent by another filed in the United
>
> States before the invention thereof by the applicant for patent, or on an international application by another who
>
> has fulfilled the requirements of paragraphs (1), (2), and (4) of section 371(c) of this title before the invention
>
> thereof by the applicant for patent.

3.   Claims 1-20 are rejected under 35 U.S.C. 102(e) as being

anticipated over Chau et al., (U. S. Patent No. 6,721,727).

As to claim 1, Chau et al. discloses a data processing

system including a legacy data base management system having a

command language coupled to a publically accessible digital data

communication network comprising:

a response generated by the legacy data base management

system (i.e. the XML system supports legacy flat files)(col. 8,

lines 15-21) and (col. 44, lines 40-45) ; and

a facility for converting the response into an XML message

(Fig. 10, step 1006) which is transferable over the publically

accessible digital data communication network (i.e. internet or

intranet)(col. 5, lines 50-52)

As to claim 2, <u>Chau et al</u>. discloses a data processing

system wherein the facility further comprises an output

definition table (i.e. The XML data is mapped from the

application DTD to the relational tables and columns using the

document access definition based on the XPath data model)(col.

3, lines 15-21).

As to claim 3, <u>Chau et al</u>. discloses a data processing

system wherein the facility further comprises a document type

definition corresponding to the XML message (i.e. The XML data

is mapped from the application DTD to the relational tables and

columns using the document access definition based on the XPath

data model)(col. 3, lines 15-21).

As to claim 4, <u>Chau et al</u>. discloses a data processing

system wherein the facility includes storage for the output

definition table (col. 4, lines 25-31 and Fig. 4, item 404).

As to claim 5, <u>Chau et al</u>. discloses a data processing system wherein the facility further comprises a repository responsively coupled to the legacy data base management system wherein the output definition table and the document type definition are stored within the repository (col. 16, lines 45-54 and Fig. 2, items 200, 202, 206 and 210 and Fig. 10, item 10).

As to claim 6, <u>Chau et al</u>. discloses an apparatus comprising:

a. publically accessible digital data communication network (i.e. internet or intranet)(col. 5, lines 50-52);

b. a data base management system having an internal format different from XML responsively (i.e. an XML column is used to store entire XML documents in the native XML format.)(col. 7, lines 66-67) coupled to the publically accessible digital data communication network (i.e. internet or intranet)(col. 5, lines 50-52) which generates a response in the internal format (col. 7, lines 66-67) and (col. 8, lines 1-5); and

c. an Output Definition Table which converts the response into an XML document for transmission (i.e. The XML data is mapped from the application DTD to the relational tables and columns using the document access definition based on the XPath

data model)(col. 3, lines 15-21) on the publically accessible

digital data communication network (i.e. internet or

intranet)(col. 5, lines 50-52).

As to claim 7, <u>Chau et al</u>. discloses an apparatus further

comprising:

a Document Type Definition (DTD) which defines a format of

the XML document (i.e. The XML data is mapped from the

application DTD to the relational tables and columns using the

document access definition based on the XPath data model)(col.

3, lines 15-21).

As to claim 8, <u>Chau et al</u>. discloses an apparatus further

comprising:

a repository within the data base management system for

storage of the Output Definition Table (col. 4, lines 25-31 and

Fig. 4, item 404).

As to claim 9, <u>Chau et al</u>. discloses an apparatus further

comprising:

a window for user activation of the Output Definition Table

(i.e. In the Document Access Definition, applications can make a

custom mapping between database column data in new or existing

tables to XML elements or attributes)(col. 8, lines 35-46).

As to claim 10, <u>Chau et al</u>. discloses an apparatus further

comprising:

wherein the publically accessible digital data

communication system further comprises the Internet (i.e.

internet or intranet)(col. 5, lines 50-52).

As to claim 11, <u>Chau et al</u>. discloses a method of supplying

a response from a data base management system comprising:

a. transferring a service request to the data base

management system (col. 4, lines 15-24 and Fig. 1) via a

publically accessible digital data communication network (i.e.

internet or intranet)(col. 5, lines 50-52);

b. processing the service request by the data base

management system to produce a response (col. 4, lines 15-24

and Fig. 1);

c. converting the response into an XML document using an

Output Definition Table (ODT) (i.e. The XML data is mapped from

the application DTD to the relational tables and columns using

the document access definition based on the XPath data

model)(col. 3, lines 15-21); and

d. transmitting the XML document via the publically

accessible digital data communication network (i.e. internet or

intranet)(col. 5, lines 50-52).

As to claim 12, Chau et al. discloses a data processing

system wherein the facility further comprises an output

definition table (i.e. The XML data is mapped from the

application DTD to the relational tables and columns using the

document access definition based on the XPath data model)(col.

3, lines 15-21).

As to claim 13, Chau et al. discloses a method wherein

the Output Definition Table is dynamically generated from

storage (i.e. The XML System also allows overrides of query

conditions explicit or implicitly defined in the DAD, by

parsing the SQL or XML XPath based override parameter to the

composition stored procedures. In this way, it supports dynamic

query for generating XML documents.) (col. 8, lines 46-50).

As to claim 14, Chau et al. discloses a method wherein

the converting step further comprises an XML element to source

mapping tree containing an internal representation that assures

conformance to the Document Type Definition (i.e. The XML data

is mapped from the application DTD to the relational tables and

columns using the document access definition based on the XPath

data model)(col. 3, lines 15-21) and (i.e. a document object

model tree is generated using a document access definition. The

document object model tree is traversed to obtain information to

retrieve relational data. The relational data is mapped to one

or more XML documents.) (col. 3, lines 16-21).

As to claim 15, Chau et al. discloses a method wherein

the publically accessible digital data communication network

further comprises the Internet (i.e. internet or intranet)(col.

5, lines 50-52).

As to claim 16, Chau et al. discloses an apparatus

comprising:

a. means for transmitting an XML document via a publically

accessible digital data communication network (i.e. internet or

intranet)(col. 5, lines 50-52);

b. means responsively coupled to the transmitting means

for processing a service request to produce a response (col. 4,

lines 15-24 and Fig. 1);

c. means responsively coupled to the processing means for

converting the response into the XMI, document (i.e. The XML

data is mapped from the application DTD to the relational tables

and columns using the document access definition based on the

XPath data model)(col. 3, lines 15-21); and

d. means responsively coupled to the converting means and

the transmitting means for sending the XML document   (i.e. an

XML column is used to store entire XML documents in the native

XML format.)(col. 7, lines 66-67) to the transmitting means for

transmission via the publically accessible digital data

communication network (i.e. internet or intranet)(col. 5, lines

50-52).

As to claim 17, <u>Chau et al</u>. discloses an apparatus wherein

the processing means further comprises

a repository (col. 4, lines 25-31 and Fig. 4, item 404).

As to claim 18, <u>Chau et al</u>. discloses an apparatus

comprising means for defining a format of the XML document (i.e.

The XML data is mapped from the application DTD to the

relational tables and columns using the document access

definition based on the XPath data model)(col. 3, lines 15-21).

As to claim 19, <u>Chau et al</u>. discloses an apparatus wherein

the transmitting means further comprises the Internet (i.e.

internet or intranet)(col. 5, lines 50-52).

As to claim 20, <u>Chau et al</u>. discloses an apparatus wherein

the storing means stores the defining means for future use

((i.e. The XML data is mapped from the application DTD to the

relational tables and columns using the document access

definition based on the XPath data model)(col. 3, lines 15-21).

Prior Art Made of Record

4.   The prior art made of record and not relied upon is

considered pertinent to applicant's disclosure.

   Meltzer et al. (U.S. Patent No. 6,226,675);

   Cheng (U.S. Patent No. 6,366,934);

   Cheng (U.S. Patent No. 6,421,656); and

   Cheng (U.S. Patent No. 6,584,459).

Conclusion

5.   Any inquiry concerning this communication or earlier

communications from the examiner should be directed to Yicun Wu

whose telephone number is 703-305-4889. The examiner can

normally be reached on 8:00 am to 4:30 pm, Monday -Friday.

If attempts to reach the examiner by telephone are unsuccessful,

the examiner's supervisor, Dov Popovici can be reached on 703-

305-3830. The fax phone numbers for the organization where this

application or proceeding is assigned are 703-872-9306 for

regular communications and 703-746-7240 for After Final

communications.

    Any inquiry of a general nature or relating to the status

of this application or proceeding should be directed to the

receptionist whose telephone number is 703-305-3900.

Yicun Wu
Patent Examiner
Technology Center 2100

DIANE D. MIZRAHI
PRIMARY PATENT EXAMINER
TECHNOLOGY CENTER 2100

June 7, 2004